

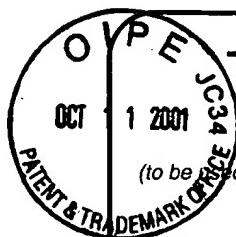
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U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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# TRANSMITTAL FORM

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Total Number of Pages in This Submission

Application Number

09/902,806

Filing Date

July 12, 2001

First Named Inventor

Nicholas J. Frigo et al.

Group Art Unit

TBA

Examiner Name

TBA

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Attorney Docket Number

03493.00111

## ENCLOSURES (check all that apply)

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| <input type="checkbox"/> Fee Transmittal Form                                | <input type="checkbox"/> Assignment Papers<br>(for an Application)                      | <input type="checkbox"/> After Allowance Communication to Group   |
| <input type="checkbox"/> Fee Attached  | <input type="checkbox"/> Drawing(s)   | <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences                           |
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| <input type="checkbox"/> Affidavits/declaration(s)                           | <input type="checkbox"/> Petition to Convert to a Provisional Application               | <input type="checkbox"/> Status Letter  |
| <input type="checkbox"/> Extension of Time Request                           | <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address | <input checked="" type="checkbox"/> Other Enclosure(s)<br>(please identify below):<br><b>Eight References</b> |
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|  | Remarks   |   |

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

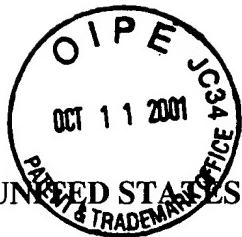
Firm or Individual name	Catherine A. Ferguson, Reg. No. 40,877
Signature	<i>Catherine A. Ferguson</i>
Date	October 11, 2001

## CERTIFICATE OF MAILING

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of:

Nicholas J. Frigo et al.

Serial No.: 09/902,806

Filed: July 12, 2001

For: SYSTEM FOR TRANSPARENT NODE FOR  
WDM SHARED "VIRTUAL RING"  
NETWORK

Atty. Docket No.: 03493.00111

Group Art Unit: TBA

Examiner: TBA

**INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
Washington, D.C. 20231

Sir:

In accordance with Applicants' duty of disclosure, the following information is submitted for consideration by the United States Patent and Trademark Office in connection with the above-captioned application. The information is identified on the attached PTO 1449 form.

Applicants do not waive any right to take appropriate action to establish patentability over the listed documents should they be applied as references against the claims of the present application.

It is respectfully requested that the Examiner fully consider each of the documents, initial the enclosed Form PTO-1449 in the appropriate place to indicate that the document has been considered, and return a copy of the initialed form to the undersigned in accordance with MPEP Section 609.

Applicants believe that no fee is necessary pursuant to 37 C.F.R. § 1.97(b). However, if a fee is due, the Office is authorized to charge Deposit Account No. 19-0733.

Respectfully submitted,

BANNER & WITCOFF, LTD.

Dated: October 11, 2001

*Catherine A. Ferguson*  
Catherine A. Ferguson  
Registration No. 40,877

PTO-1449 (Modified)  U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTY. DOCKET NO.  03493.00111	SERIAL NUMBER  09/902,806
INFORMATION DISCLOSURE STATEMENT BY APPLICANT			
OCT 11 2001 U.S. PATENT & TRADEMARK OFFICE	APPLICANT Nicholas J. Frigo et al.		
	FILING DATE July 12, 2001	GROUP ART UNIT TBA	

#### U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE

#### FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION YES/NO

#### OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

K.C. Reichmann, P.P. Iannone, M. Birk, N.J. Frigo, and C.F. Lam, "Simultaneous Delivery of 1280 Video Channels over a WDM Passive Optical Network," ECOC Sept. 2000: 26 <sup>th</sup> Annual Conference on Optical Communication, Munich, Germany, pp. 79-80
K.C. Reichmann, N.J. Frigo, P.P. Iannone and L. H. Spiekman, "A Simple Bi-directional Node for WDM Virtual Ring Networks", LEOS 2000 Annual Meeting Conference, November 2000, pp. 690-691.
P.P. Iannone, K.C. Reichmann, A. Smiljanic, N.J. Frigo, A. H. Gnauck, L.H. Spiekman, and R. M. Derosier, "A Transparent WDM Network Featuring Shared Virtual Rings", Journal of Lightwave Tech., Vol. 18, No. 12, December 2000, pp. 1955-1963.
P.P. Iannone, K.C. Reichmann, N.J. Frigo, A.H. Gnauck, and L.H. Spiekman; "A Flexible Metro WDM ring using wavelength-independent subscriber equipment to share bandwidth", Optical Fiber Communication Conference, March 2000, pp. PD38-1/281 – 28.3
P.P. Iannone, K.C. Reichmann, M. Birk, N.J. Frigo, R.M. Derosier, D. Barbier, C. Cassagnettes, T. Garret, A. Veruccio, S. Perrier, and J. Phillipsen, "A 160-km Transparent Metro WDM ring network featuring cascaded erbium-doped waveguide amplifiers", OFC 2001: Optical Fiber Communications Conference, March 2001, Vol. 3, pp. WBB3-1 – WBB3-3.
Y. Chen, M. T. Fatehi, H. J. LaRoche, J. Z. Larsen and B. L. Nelson, "Metro Optical Networking", Bell Labs Tech. Journal, Vol. 4, N.1, Jan-March 1999, pp. 163-186.

PTO-1449 (Modified)  U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO.  03493.00111	SERIAL NUMBER  09/902,806
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OCT 11 2001 PATENT & TRADEMARK OFFICE	APPLICANT  Nicholas J. Frigo et al.	
	FILING DATE  July 12, 2001	GROUP ART UNIT  TBA

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

R.C. Alferness, P. A. Bonenfant, C.J. Newton, K.A. Sparks E. L. Varma, "A Practical Vision for Optical Transport Networking", Bell Labs Tech. Journal, Vol. 4, N.1, Jan-March 1999, pp. 3-18.
J. M. Simmons & A.A. M. Saleh, "Optical Region Access Network (ORAN) Project", OFC 1999: Optical Fiber Communications Conference, Feb. 1999, pp. WK1-1/178-180.

EXAMINER	DATE CONSIDERED
EXAMINER: Initial citation if reference was considered. Draw line through citation if not in conformance to MPEP 609 and not considered. Include copy of this form with next communication to applicant.	